

**Acquisitions and Bibliographic Access Directorate**  
**Beacher J. Wiggins, Director**  
**Report for the Fiscal Year Ending September 30, 2006**

The Acquisitions and Bibliographic Access Directorate of the Library of Congress had a remarkably active and successful year in fiscal 2006. The year was marked by strategic planning, intensive deliberations over the future organization of the directorate and its role as provider of bibliographic access to the national and international library community, and innovations in workflows and cataloging policy. In addition, ABA achieved all-time high production for both acquisitions and cataloging activity, provided standards and cataloging tools to the community, and provided training for all staff of the Library Services service unit. The ABA Directorate's leadership role in the national and international library community was confirmed this year as Bruce Johnson of the Cataloging Distribution Service became president of the Association for Library Collections and Technical Services (ALCTS, a division of ALA, the American Library Association); Philip Melzer of the Regional and Cooperative Cataloging Division (RCCD) was elected president of the Council on East Asian Libraries; and John Byrum received the Melvil Dewey Medal from ALA in June, a few months after retiring from the Library as chief of the Regional and Cooperative Cataloging Division.

Fiscal 2006 was the second full year of operations for the Acquisitions and Bibliographic Access Directorate, which was formed in July 2004 by the merger of the former Cataloging and Acquisitions directorates. The new ABA Directorate encompassed acquisitions and cataloging functions, recognizing that both functions serve the goal of building the Library's collection and providing access to information and knowledge. The acquisitions divisions include the Acquisitions Fiscal Office (AFO), African/Asian Acquisitions and Overseas Operations Division (AFAOVOP), Anglo-American Acquisitions Division (ANAD), European and Latin American Acquisitions Division (ELAD) and Serial Record Division (SRD). The bibliographic access divisions are the Cataloging Distribution Service (CDS) and the eight divisions of the former Cataloging Directorate: Arts and Sciences Cataloging Division (ASCD), Cataloging in Publication Division (CIP), Cataloging Policy and Support Office (CPSO), Decimal Classification Division (DEWEY), History and Literature Cataloging Division (HLCD), Regional and Cooperative Cataloging Division (RCCD), Social Sciences Cataloging Division (SSCD), and Special Materials Cataloging Division (SMCD). In addition, the Instructional Design and Training Division (IDTD) became part of ABA administratively, although it provided training and course development for the entire service unit and beyond. In fiscal 2006, ABA built on its administrative merger by redesigning functions and workflows for greater efficiency, flexibility, and integration of digital and analog collections.

**Preparing for the Future**

Beginning in February, the Associate Librarian for Library Services initiated a strategic planning process to produce a strategic plan to guide the service unit from 2008 through 2013. The director for ABA assisted with the initial draft of the strategic plan, which was issued in June. Staff members in ABA were named as coordinators for six of the 41 working groups that were charged to develop performance goals under the

strategic goals and objectives. Many other ABA staff members served on the performance goal working groups. When the planning and performance management process is completed, ABA with the rest of Library Services will have measurable, transparent performance targets that are based on the principles of the Government Performance and Results Act.

The bibliographic access divisions of ABA successfully concluded their strategic plan for fiscal years 2005/2006. Many of the achievements highlighted in this report arose as objectives of this plan, including the work of the CIP Review Group, the Staff Expertise Survey, revision of cataloging documentation, and developments in cataloging policy such as the Library of Congress contribution to *Resource Description and Access* and FAST, the Faceted Application of Subject Headings.

This year ABA also successfully concluded *Bibliographic Control of Web Resources: A Library of Congress Action Plan*. This plan arose from the Bicentennial Conference on Bibliographic Control for New Millennium, sponsored by the Library of Congress in November 2000. The action plan presented 29 work items arising from 150 recommendations made by the conference participants, who included both LC staff and other leaders in the library community. All action items were accomplished either as special projects within LC, in collaboration with other institutions, or as regular work within ABA. Especially notable work accomplished under the action plan included the *Cataloger's Learning Workshop Website*, a Web portal jointly maintained by ABA and the ALCTS Committee on Education and Training Materials, and a suite of five continuing education courses on "Cataloging for the 21<sup>st</sup> Century," which were developed by ALCTS with support from the Cataloging Distribution Service (CDS). The course materials are available from CDS, and workshops were presented in various U.S. cities during the year.

The final work item to be accomplished in the action plan was to "Support research and development on the changing nature of the catalog ...," which was satisfied in March by the report "The Changing Nature of the Catalog and its Integration with Other Discovery Tools," researched and written on contract to LC by Karen Calhoun of Cornell University. The report maintains that library users want easy-to-use catalogs that are part of the World Wide Web and recommends a concrete planning process to help libraries make good decisions, market their services, introduce change in their organizations, and obtain funding. Ms. Calhoun discussed her recommendations, which are relevant to all research libraries, in a day-long seminar at LC on April 17 and at the BIBCO-at-Large meeting at the ALA Annual Conference in New Orleans on June 25. The ABA Directorate will refer to the report as it considers how a library catalog and the supporting technical processing operation should function in the 21<sup>st</sup> century.

Continuing work that started in fiscal 2005, ABA began intensively preparing for a thorough revision of workflows and organization in order to improve the timeliness of library users' access to content; better integrate the processing of digital content; increase per capita staff production; and increase the organization's flexibility in

response to a changing environment. The proposed new workflows would reduce the number of times a collection item must be handled in-process and would ensure that work was performed by appropriately graded staff. The proposed organization model, in addition to providing optimal support for the new workflows, would reduce the number of divisions and the number of supervisory positions in the directorate while offering opportunities for career enrichment and advancement. Directorate management expected to implement the reorganization at the start of fiscal year 2008, allowing time for evaluation by an external consultant, necessary reconfiguration of workspace, and impact bargaining with the labor organizations.

### **Acquisitions Work Accomplished**

The ABA Directorate acquires materials for the Library of Congress collections using a range of acquisition methods: purchase, exchange, gift, submissions through the Cataloging in Publication program, transfer of materials from other government agencies, and license or subscription. Most purchases for the collections are made using the GENPAC (Books General Purchase, Acquisitions, and Cataloging) fund. The Library received a programmatic increase of \$1 million to its base GENPAC appropriation for fiscal 2006, in addition to "price level increase" of \$515,000 to allow for higher subscription prices. After a mandated rescission, the GENPAC budget for fiscal 2006 was \$11,674,000. The separate Books for the Law Library appropriation stood at \$2,157,000 after the rescission. During the year, the Associate Librarian for Library Services supplemented GENPAC with \$1 million for the purchase of specific materials identified by the custodial divisions. The acquisitions divisions and the Acquisitions Fiscal Office worked with the Library Services Administrative Services Division to monitor the funds and to obtain materials in the most cost-effective manner.

The Library requested a programmatic increase to GENPAC of \$2 million for fiscal 2007 and combined price level increases of \$677,000 for the GENPAC and Books for the Law Library appropriations. The Library's fiscal 2007 budget had not been appropriated by Congress by the end of fiscal 2006. Since the programmatic increases to GENPAC for fiscal years 2005 and 2006 had been less than was originally requested, Library Services submitted an MDEP (Management Decision Package) for a major increase to GENPAC as part of the Library's fiscal 2008 budget process.

The three acquisitions divisions--ANAD, ELAD, and AFAOVOP--with the support of AFO acquired 1,322,048 pieces for the Library's collections through purchase, gift, exchange, or transfer from other government agencies this year, roughly thirty percent more than the 957,840 pieces acquired in fiscal 2005. In addition, the Cataloging in Publication Division obtained 96,505 books submitted to meet Cataloging in Publication and Preassigned Card Number program requirements. With the increased GENPAC funding, the divisions purchased 654,559 items compared to 507,993 items purchased using the GENPAC fund in fiscal 2005. In addition, this year ABA purchased 107,018 items for the Law Library of Congress and 14,096 items using specially appropriated funds to strengthen the Library's holdings in Africana and certain other subjects. Gift and trust funds were used to purchase 6,450 items, compared to 7,159 items the

previous year, an indication of rising prices and the falling value of the U.S. dollars against the Euro. The total of 782,123 purchased items represented an increase of more than ten percent over the 708,396 items purchased in fiscal 2005.

Two staff members in ANAD coordinated and maintained the bulk of the Library's electronic resource acquisitions. This included coordinating selection and acquisition of databases, CD-ROMs, and some electronic journals; obtaining licensing agreements; and soliciting and maintaining logons and passwords that allowed access to electronic products. The division expended \$1,867,269 on access to electronic databases; \$17,489 on electronic media; and \$36,050 on electronic journals. These expenditures were all higher than the previous year's, when \$1.3 million was expended on electronic access; \$13,500 was expended on electronic media; and \$5,000 was expended on electronic journals. By establishing a deposit account with Information Handling Services (IHS) to acquire electronic access to standards, the division was able to cancel a long-standing CD-ROM subscription to these standards, saving the Library \$140,000. Other significant electronic acquisitions included *Academic Conferences in China*; *African American Newspapers, Parts 9 and 10*; *Dissertations of China*; *Making of the Modern Economy (World)*; and *Supreme Court Records and Briefs*.

Another major way that the Library obtained access to digital content was through its membership in the consortium Elektronische Zeitschriftenbibliothek (EZB), which enables access primarily to German electronic journals. In addition, the Australia, Canada, Ireland, New Zealand, and United Kingdom Section (ACINU) added access to online electronic resources available to subscribers as part of subscriptions it acquired for the Library. ACINU has added online access for all major government libraries with free publications in the countries within its scope. ACINU added citations to the TRACKER system for online resources, e-publications, and government Web sites.

The acquisitions divisions obtained 174,274 pieces for the Library collection from the Library's various exchange partners, an increase of 17.2 percent over the 148,696 pieces acquired by exchange the previous year. These divisions received and processed 57,469 pieces, chiefly print for the general collections, as gifts to the Library—more than double the number received by gift in fiscal 2005. In addition, the acquisition of 827,953 special collection materials by gift represented a large workload for ABA, as the gifts coordinator in ANAD arranged for forty new signed Instruments of Gift, for new Agreements of Deposit or Deposit and Purchase, and one new Agreement of Purchase and Gift, plus eighty-three separate additions to existing collections with signed Instruments of Gift on file and two separate additions to existing deposit collections with signed Agreements of Deposit on file. A total of 144 separate gifts were accepted without formal Instruments of Gift. The gifts coordinator arranged for fifty-one commercial shipping movements, including six from Europe, the Middle East, or Asia, and eighty-two shipments by Federal Express. With the cooperation of the Office of the General Counsel, the gifts coordinator conducted a workshop in March of 2006 to acquaint approximately sixty recommending officers (collection development specialists) who are authorized to negotiate for gifts with best practices and procedures.

Late in the year, ANAD implemented an experimental gifting program to solicit donations of self-published local history and genealogy publications, with results to be evaluated in the next fiscal year.

The Government Documents Section, ANAD, acquired a total of 432,609 items this fiscal year, a 72 percent increase from last year's total. This total reflected material received under the provisions of Title 44, U.S. Code for documents issued by the United States Government and publications received through depository arrangements with the U.S. State and local governments. A total of 302,174 government documents were retained for the Library's collections, a 400 percent increase over fiscal year 2005, attributable to a large increase in receipts of Federal Advisory Committee material and to the availability of overtime that allowed the section to process large amounts of state and local material that had been received but not yet processed.

Exchange agreements and dealer approval plans--agreements under which a book dealer selects materials for the Library according to a selection profile following the Library's Collection Policy Statements--are central to the Library's acquisition of materials from other countries, and the acquisitions divisions worked throughout the year to improve the value of both kinds of arrangement for the Library. Extensive use was made of vendor sites to order approval plan material online. Thomson/Carswell was added as an additional legal approval dealer for Australia, New Zealand, and the United Kingdom as well as Canada. The European and Latin American Acquisitions Division established an approval plan for European Kurdish material from the Swedish vendor, Sara Publishing, and began receiving serials from its Czech approval plan vendor, Myris. A second approval plan dealer was added for Lithuania and new dealers were found for Croatia and Macedonia. The division also began discussions with the National Library of Serbia to develop an approval plan on the basis of exchange rather than purchase; the National Library of Serbia also offered to provide bibliographic records for the books it sends to LC. Acquisitions staff met with dozens of book vendors during the year and paid particular attention to opportunities to acquire digital content. For example, AFAOVOP signed an approval plan agreement with its new Korean vendor, Korean Studies Information Co. Ltd., which supplies two electronic databases and South Korean print monographs with e-books as backup copies.

In the area of exchanges, the African and Middle Eastern Acquisitions Section, AFAOVOP, acquired two hundred Iranian publications and 456 posters from the National Library of Iran, outside the normal DMEP program. The section also finalized an agreement with a Turkish exchange partner, Bilkent University Library, to obtain three major Turkish newspapers at no charge, saving the Library approximately \$3,000 a year. The Center for Development and Enterprise, a leading development think tank in South Africa, became a new exchange partner this year. Two new exchanges were established for the Balkan countries.

The chief of ELAD traveled to Dresden, Germany, in March to continue discussions with the division's German partners in the International Electronic Exchange Program (IEX).

Planning began for a pilot project to identify 100 government e-journals to acquire access, download and archive, and for which metadata would be exchanged. The Library of Congress would work with the German libraries and GPO to get reciprocal rights. The planning also envisioned a monthly exchange of bibliographic metadata among LC, the EZB, and the Zeitschriftendatenbank (ZDB), which is jointly managed by the German Library (DDB) and the State Library in Berlin (S.B.).

The Central Library of the Bulgarian Academy of Sciences also showed interest in joining IEX. At year's end, work was also in progress for the International Electronic Exchange (IEX) program to access the National Assembly Library of Korea (NAL)'s electronic database collection as a part of the Library's exchange program.

In addition to acquisitions intended for the Library collection, the acquisitions divisions carried a large workload of other processing tasks. The divisions shipped 219,475 pieces to the Library's exchange partners, a slight decrease from the previous year, and disposed of 84,386 surplus items. An additional 465,500 pieces that were received on transfer from other government agencies were not selected for the Library of Congress collection and were sent to the General Services Administration for disposition. This large number, nearly twice the 246,000 items sent to GSA for disposition in fiscal 2005, is explained by the completed selection for the LC collections of items from the U.S. Department of Education library after it was transferred to the Library of Congress. The Mail/Receiving and Routing Section, ANAD, was responsible for most of this work, in addition to the daily sorting and routing of incoming mail to the acquisitions units, tracking missing boxes and shipments using the ARRIVAL automated system, greeting book dealers selectors from other government agencies and institutions, and laser-embossing all incoming CDs, DVDs, VHP cassettes, and sound recording cassettes with Library ownership, inventory bar codes, and acquisition source marks.

Duplicate Materials Exchange Program. The Duplicate Materials Exchange Program (DMEP) was established as a Business Process Improvement project in 2002. Exchanges with partners around the globe, previously handled by various Acquisitions Sections, are now centrally serviced in ABA. Web DMEP, a Web-based customer interface to replace paper exchange lists, was launched at the end of July 2005. The Web DMEP site employs shopping cart functionality to allow the Library's exchange partners—more than 3,000 institutions in 118 countries—to select materials that they would like to receive in exchange for materials that they send to the Library.

In fiscal 2006, its first complete fiscal year of operation, Web DMEP received 2,102 orders for 15,977 books from 521 exchange partners. To support exchanges with partners that do not have Web capability, DMEP also produced printed exchange lists that were sent to 161 other exchange partners, who eventually requested and received 2,102 books from those lists. In all, DMEP supplied 18,079 books to the Library's exchange partners.

During the year, four of the six AFAOVOP overseas offices started using

Web DMEP to select materials to be used in their own exchanges. This process has worked smoothly and has lifted a selection and shipping burden from OVOP staff stationed in Washington.

The Web DMEP contract, covering software development and web site hosting, was originally awarded in 2004. In March 2006, the Library awarded a one-year contract renewal to BAK Infotech, a spinoff of the original Web DMEP contractor. This contract called for a number of system enhancements to be developed. The first enhancement was an automated quota updating tool that was immediately put to use, allowing the Library to update the annual exchange quotas for its exchange partners in June and including nonprint formats as part of the quotas for the first time.

Security targeting and marking. The Security Targeting and Marking Team was established on December 5, 2005, with contract staff from InfoCurrent, using \$140,000 allocated by Library Services to implement various security-related recommendations that were accepted by Library management in the 2002 report of the Joint Issue Group On Labelling. As part of the contract, the InfoCurrent staff working in AFAOVOP, ANAD, ELAD and CIP, together with ABA staff in August and September, installed security targets (strips) and placed edge stamps in 192,749 volumes--all incoming monographs and all prebound and self-contained serial volumes. The team also made perforated Library ownership marks on 2,269 reels of incoming microfilm. These numbers demonstrate the program's contribution to improving the security of the Library's collections, both in-process and after they reach the stacks.

Overseas Offices. The six overseas offices continued their work in acquiring, cataloging and preserving research materials from parts of Asia, Africa and South America for the Library of Congress and its participants in the Cooperative Acquisitions Programs. The offices acquired 274,534 pieces for the Library of Congress and 459,896 pieces for other libraries that participate in the Cooperative Acquisitions Programs, which provide copies of publications acquired by the overseas offices on a cost-recovery basis.

The offices and AFAOVOP staff in Washington continued to work with the Technology Policy Directorate to develop specifications for CAPS-AD, software that will support the Cooperative Acquisitions Program System, will support overseas office staff by providing them control over the acquisitions process and will feature a Web interface that will give participant libraries the ability to request and track orders and shipments and get up-to-date financial reports.

Three of the offices had serious problems related to their electrical environments, which greatly hampered their productivity. In the New Delhi office, a long out-of-date uninterruptible power supply blew up and caught fire. The unit had been scheduled for replacement, but budget limitations had caused its replacement to be kept on hold. Fortunately, the damage was contained, remedial action was taken, and the replacement unit was to be installed early the next fiscal year.

The Islamabad office suffered from a local power outage and failure of a back-up generator. The office operated on a regime of very low power consumption during mid-summer, with local temperature surpassing 115 degrees Fahrenheit. The Jakarta office had similar problems, exacerbated by the decay of switches, again long past their useful life cycle. Emergency funding was required for replacements.

Staff of the Rio de Janeiro and Cairo offices worked with the Library's senior advisor for the World Digital Library and with Global Gateways staff, identifying digital resources for their regions and arranging meetings and visits to local collections.

Using equipment on loan from the Library, the Brazilian National Library digitized maps for the Global Gateway Project at an impressive rate—more than 1,500 maps by year's end. Within the Rio de Janeiro office, planning was initiated to digitize materials from the 2006 elections and also to digitize CORDEL (chap books) held in the office and in the American Folklife Center of the Library of Congress.

The head of the Rio Cataloging Section spent six weeks in Washington in training for subject cataloging in Brazil, making a large percentage of the acquisitions from the Rio office shelf-ready when it arrives in Washington.

The New Delhi office organized three highly successful three-day conferences for the office's dealers and its staff in acquisitions, cataloging, and serials control. The goal of these conferences is to explore ways in which dealers may acquire materials in their states more cost-effectively, while ensuring that the office continues to obtain the best of each state's books, serials, cinema, and recordings that reflect the intellectual, social and cultural values of its people. Feedback from dealers was positive and the training has resulted in fewer rejects of vendor selections. As the two-year process of dealer conferences comes to a close, the office has implemented procedures for a systematic assessment of the performance of each dealer.

The New Delhi office microfilmed special collections on the 2004 tsunami and on the visit to India of President George W. Bush; back files of Sri Lanka newspapers from the Library's Landover storage facility; on-site line drawings and four sets of newspaper clippings files on ethnomusicology from American Institute of Indian Studies, Gurgaon; back files of the Indonesian central Gazette *Berita Negara* for 2003, sent by the Jakarta office; and a collection of Somalian newspapers. Microfilming in New Delhi greatly reduces filming and shipping costs and assures that these unusual research materials will be retained for the Library's collections.

Staff in the Jakarta office worked with the House Democratic Assistance Commission (HDAC) in the building of the Parliament Library of Timor. In February 2006, four members of the House, led by Congressman Jim Kolbe of Arizona, visited the office. Staff completed the first part of the training for the Timor parliamentary librarians and are moving to the next stage in the next fiscal year. The office has acquired many Timor imprints through this project.



The Islamabad office focused on documenting the devastation of the Pakistan earthquake and subsequent rebuilding efforts. Staff acquired more than ninety maps including seismic maps and regional maps focusing on those areas hardest hit by the earthquake. No less important than the maps were the non-print resources, special newsletters, and other documentation that reviewed relief efforts and discussed long term rebuilding. The office also emphasized the comprehensive acquisition of maps, acquiring nearly 100 sheets from the Survey of Pakistan. Staff visited over sixty organizations and institutions and attended international and national conferences and seminars to acquire publications.

Acquiring new Afghanistan publications was also a high priority for the Islamabad office, despite obstacles. The office acquired the *Afghanistan Digital Atlas*, which will be invaluable to researchers at the Library of Congress. The office also acquired political speeches and videos, which it shared with the Federal Research Division, the Congressional Research Service, and the Political Section at the U.S. Embassy in Islamabad.

The Library Services budget for fiscal 2006 included \$15,000 to support collaborative pilot efforts with organizations such as the Sabre Foundation, which donates books to developing and transitional countries worldwide. At the end of the year, the Nairobi office was allotted \$7,500 to work with Sabre's local partner, East Africa Book Trust, to distribute sets of the *World Book Encyclopedia*. The other \$7,500 was allotted to the Jakarta office to work with the Asia Foundation and Syarif Hidayatullah University to ship a container of books to Indonesia and distribute them locally, with the Library's contribution being used to cover local shipping costs.

### **Bibliographic Access Work Accomplished**

In fiscal year 2006, the bibliographic access divisions, including the Serial Record Division, cataloged a total of 346,182 bibliographic volumes (new works, added volumes, and items added to collection-level records), the highest total in their history, representing an increase of more than ten per cent over the 312,818 bibliographic volumes cataloged in fiscal 2005. This was the second year in a row that the divisions achieved all-time production highs. Production of full or core original cataloging, the most expensive category of cataloging for the general collections, increased significantly to 199,223 records compared to 185,531 the previous year. These records have complete description, subject analysis, and Library of Congress Classification numbers, as well as full authority records for all descriptive and subject access points, which are drawn from controlled vocabularies.

The bibliographic access divisions and Serial Record increased production in other categories also, utilizing less expensive modes of cataloging in order to achieve high production while providing effective access to collection materials. Production of minimal-level cataloging records increased 87.11 per cent, to 54,381 items, providing timely and cost-effective access to items that do not require fuller cataloging or authorized forms of access points. Copy cataloging production also showed an

impressive increase of more than 33 percent, to 71,436 records, reflecting the use of innovative copy cataloging workflows. Total SRD total production in all categories was 12,759 new records, plus 890 partially cataloged records, compared to 13,827 new records the previous year, and 5,5000 International Standard Serial Numbers assigned to new serials. The number of ISSN assigned represents a decrease from 6,000 assigned in fiscal 2005, but a marked increase in per-capita staff production considering that the division lost two catalogers who performed this work. For the first time, this year SRD included subject analysis and Library of Congress Classification on all the bibliographic records it completed, a major expansion of its workload while the division kept production to ninety percent of the previous year's record. Uncataloged serials on hand at year's end numbered only 2,090, compared to 4,998 at the end of fiscal 2005.

Production of name authority work by Library of Congress staff increased this year. The BA Divisions, with the Serial Record Division and the overseas offices administered in the African/Asian and Overseas Operations Division, created 97,392 new name authority records, ten percent more than the 88,828 created in fiscal 2005. Changes to name and series authority records totaled 44,512, compared to 60,454 in fiscal year 2005. The increased production of new name authorities reflected the Library's decision to cease creating or updating series authority records as of June 1, freeing more skilled staff resources for name authority work as well as other aspects of bibliographic control. Total new subject headings including those produced by catalogers and by the Subject Heading Editorial Team, Cataloging Policy and Support Office (CPSO), numbered 6,692, nearly identical to the 6,678 produced in fiscal year 2005, bringing the size of the entire subject headings database to more than 290,000 records. Total changes to subject headings numbered 10,306, compared to 6,020 in fiscal year 2005. Catalogers proposed 1,535 new numbers in the Library of Congress Classification, a decrease of 11.88 per cent from the previous year, and changes to 131 Classification numbers, almost the same as the 132 changes in fiscal 2005.

The ABA Directorate increased its acquisitions of Chinese materials for the LC collections and greatly improved bibliographic access to these materials. When funds became available for overtime work in August and September, Chinese materials were targeted as a special project. In Chinese, 56,058 items were acquired for the LC collections, including 39,080 serial pieces and 16,129 books; of these, 49,388 were actually published in China. The bibliographic access teams completed the cataloging of 481 new serial titles and 3,999 monographs, compared to 8,579 Chinese books cataloged in fiscal year 2005. Staff in ABA also assisted the Geography and Map Division in cataloging maps for more than 200 Chinese geographic places.

With the termination of the Luce Contemporary China program, the Library of Congress continued the project by contracting with four regional bibliographic service representatives in China and Tibet. The bibliographic service representatives performed the same tasks as in the Luce program by recommending lists of titles that are significant, scholarly, and hard-to-find for the topics that the Library provided them.

This program enabled the Library to acquire materials of great interest on contemporary China and on Tibetan culture and religion.

Cataloging in Publication. The Cataloging in Publication Division (CIP) continued to provide initial bibliographic control of books received for the collections through the U.S. Copyright Office and to administer the nation's Cataloging in Publication program, which provides cataloging data in advance of publication for those titles most likely to be widely acquired by American libraries. In fiscal 2006, its 35<sup>th</sup> anniversary year, the CIP program cataloged 53,579 CIP titles, all at core-level and supported by necessary authority work. The average time elapsed from receipt of the publisher's request for CIP data until the data was completed in the LC ILS was 9.4 days, with 83 percent of all CIP records completed within 14 days—the first time since 1999 that average throughput was less than ten days. The division continued to encourage publishers to submit their galleys electronically, in preparation for the scheduled adoption of electronic CIP ("ECIP") as the default mode of CIP processing on January 1, 2007. The number of publishers participating in ECIP increased to 3,714 during the year, and seventy-five percent of all CIP galleys were ECIP. The ECIP electronic claiming feature helped the division to obtain 96,505 books submitted by publishers in compliance with CIP and PCN (Preassigned Card Number) program obligations. Using \$56.19 as the average cost of a U.S. book (as determined by Blackwell's "US Approval Coverage and Cost Study 2004/2005" at <<http://www.blackwell.com/downloads/CC0405.pdf>>), the value of these books is estimated at \$5,422,615. These books receipts are either retained for the Library of Congress collections or are used in its exchange programs, greatly improving the Library's ability to obtain foreign publications on exchange.

### **Cataloging Policy and Standards**

The chief and staff of the Cataloging Policy and Support Office (CPSO) were highly visible in the Joint Steering Committee for Revision of the Anglo-American Cataloguing Rules (JSC) and in the International Federation of Library Associations and Institutions (IFLA), as well as engaged in encouraging international cooperation for cataloging through other venues.

In the JSC, work on a new cataloging code has been underway for more than three years. Work on the code, now renamed *Resource Description and Access (RDA)*, maintained its considerable momentum as drafts of its successive sections appeared. The Library of Congress's representative to the JSC is CPSO's chief, who presented numerous rule development proposals and discussion papers during the year. The chief also presented LC's official position on issues related to *RDA*, which were the product of consultations throughout the Bibliographic Access Divisions and special collection divisions that currently apply AACR, the standard that *RDA* will replace. A CPSO senior policy specialist was named chair of the JSC Working Group to review appendices for the new code and draft new appendices as may be needed. Deadlines were tight in order to keep to *RDA*'s timetable with publication targeted for 2008.

The participation of ABA managers and policy specialists in cataloging and

classification activities within IFLA is influential and visible. The director for ABA represents the Library on the Bibliography Section Standing Committee; a CPSO senior policy specialist is the Library's official representative to the Cataloguing Section Standing Committee and was elected Committee Chair; and the chief of CPSO is the elected representative to the Classification & Indexing Section Standing Committee and chair of Division IV, Bibliographic Control. Another major long-term initiative is the Statement of International Cataloguing Principles, which continued its regional International Meetings of Experts on an International Cataloguing Code (IME ICC) to reach global agreement on an updated set of basic cataloging principles that underlie all the major cataloging codes used throughout the world. The chief of CPSO is the leader of the IME ICC Planning Committee and the primary moderator of these meetings. Four regional meetings have been held to date; in fiscal year 2006, regional meetings were held in Cairo, Egypt, and Seoul, Korea. A CPSO staff member played a key role in editing and producing the report of the Cairo and Seoul meetings for IFLA.

With the reassignment to CPSO of a policy specialist fluent in Spanish, CPSO was able to pursue with greater flexibility its long-term objective of increasing the visibility of Library of Congress international cataloging activities in areas of the world where Spanish is the primary language. Lecture and teaching trips to Mexico City, Madrid, and Oriente, El Salvador, were arranged as the result of this appointment.

The chief of ASCD invited the primary cataloging managers from three other national libraries, British Library (BL), Library and Archives Canada (LAC), and the National Library of Australia (NLA), to a two-day meeting in April, hosted by LAC in Ottawa, to discuss resource discovery in the 21st century and other issues of common concern. Deutsche Nationalbibliothek (DNB) also joined the group. The group met again during the IFLA Annual Conference in August. The primary foci for both the April and August meetings were resource discovery strategies and costs related to cataloging operations.

There were two new enhancements to *Classification Web*: 1) The Library of Congress Classification (LCC) schedules and tables databases are now being updated daily instead of weekly, so that newly approved or changed classification numbers appear in "*Class Web*" within 24 hours after they have been entered in the official Library of Congress production database. *Class Web* now provides the most up-to-the-minute access to LC classification data available anywhere. The *LC Subject Headings* database and the various LC Classification/LC Subject Heading/Dewey correlations databases continue to be updated weekly. 2) A recent upgrade to the software that supports *Class Web* enables the display of non-Roman characters. A CPSO policy specialist continued as the contracting officer's technical representative for the development of the Minaret software to automate the LCC proposal system for new numbers, which was to be implemented early the next fiscal year.

Work began to analyze the genre/form terms for moving image materials. In collaboration with OCLC and the Music Library Association, CPSO planned a project to implement MARC 21 X55 fields (Genre/Form Term) for *Library of Congress Subject*

*Heading* (LCSH) terms in the discipline of music. LCSH terms in music that will be retagged will meet the criterion of representing what the materials *are*, as distinct from what those materials are *about*. The first LCSH music terms selected for the project will be those for musical works. In the course of the project, authority records will be created for all eligible headings. This will represent a change in present policy, which allows many headings to be used in bibliographic records without creating authority records for them. The new authority records will facilitate machine validation.

The Cataloging Policy and Support Office undertook a systematic program to revise and simplify documentation, beginning with some sections of the *Descriptive Cataloging Manual* and *Library of Congress Rule Interpretations*. The revision was guided by responses to two questionnaires, one sent to both LC catalogers and to customers of CDS, regarding opinions about CPSO documentation and ideas for improving it; and a survey of Library of Congress subject catalogers. The CPSO Web site now includes more information and documentation. In addition, the decision to cease controlled series authority work at the Library of Congress prompted extensive revisions to documentation as well as consultation with other libraries.

The Database Improvement Unit (DBIU) in CPSO managed and updated the content of the Library's main bibliographic database in the LC ILS. The DBIU corrects bibliographic, holdings, item, and authority records using BatchCat, a software program developed at Northwestern University and adapted for local use by ABA, and also undertakes some manual corrections to the database. In fiscal 2006, DBIU was staffed by one full-time technician and by catalogers assigned on detail. This year DBIU corrected 332,200 bibliographic records: 328,500 in Voyager, 3,500 in RLIN, and 2,000 in OCLC. This work brings the total number of bibliographic records corrected by the unit since its inception in August 2005 to 830,200. The corrections and updates to contemporary usage resulted in noticeable improvements to end users' experience of the catalog and have saved time and resources for the Library's cataloging partners and other libraries.

After consultation with the Program for Cooperative Cataloging, LC adopted a new rule interpretation that enabled a much requested policy change to add death dates to personal name headings with open dates. CPSO launched the policy February 1, 2006, with a group of 378 names that had been identified as having a large number of authority and bibliographic records that would require maintenance. In response to a request from the Library, OCLC agreed to provide an RSS feed to serve as an alert service for authority records to which death dates have been added.

### **Cataloging Distribution Service**

The Cataloging Distribution Service (CDS) markets and distributes the Library's cataloging records and cataloging-related publications, tools, and resources. Within the Library of Congress and in libraries around the world, catalogers rely on the standards and technical publications distributed by CDS to organize their collections for effective access. CDS administers the cataloging distribution program as a cost-recovery

service under the authority of 2 U.S.C. 150.

Cost-recovery operations were sustained. Earned receipts in fiscal 2006 totaled \$3,909,380 with an additional \$693,000 for products and services provided to internal Library customers. The sale of content delivered to customers in digital form accounted for 77.4 percent of total CDS revenue. Of the 77.4 percent, 44.6 percent was from sales of the two CDS web-based services *Classification Web* or *Cataloger's Desktop* (compared to 39.1 percent in fiscal 2005) and 32.8 percent was from the FTP MARC distribution services (an increase over last year's 31.2 percent). Continued customer migration to digital products was responsible for the approximately 7 percent increase in revenue generated by sales of digital content at the close of fiscal 2006 over last year. Revenue from digital content has shown a remarkable 20 percent increase since fiscal 2004. As expected, revenue from printed publications decreased to 22.6 percent of total sales, compared to 28.3 percent of receipts in 2005 and 32 percent in 2004. Updates to documentation are being made freely available through PDF format, an additional source for digital access to formerly print products.

*Classification Web* and *Cataloger's Desktop* are the two major vehicles for the Library to disseminate its cataloging rules and related technical publications to other libraries. Both services are standard resources for internal Library cataloging as well.

With 173 new accounts added in fiscal 2006, *Cataloger's Desktop* completed a strong second full subscription year in its Web form. This service ended fiscal 2006 with 928 subscriptions and 5,277 concurrent users, an increase of 23 percent and 18 percent, respectively, over the 755 subscribers and 4,480 concurrent users the previous year. During fiscal 2006 a simplified user interface was developed to make *Desktop* easier to use by new subscribers. Many enhancements were developed based on the results of a fiscal 2005 user satisfaction survey. During fiscal 2006, *Cataloger's Desktop* also incorporated dozens of additional cataloging resources.

Topping \$1,000,000 in sales for the first time, *Classification Web*, CDS's other Web-based service, completed its third full subscription year of sales with 84 new accounts and a total of 1,788 subscriptions and 6,426 concurrent users. This is an increase of 5 percent in subscriptions and a 27 percent decrease in concurrent users, compared with the 1,704 subscribers and 8,765 concurrent users in fiscal 2005. The decrease in concurrent users may be attributed to a move by some customers from multi-user to solo-user accounts and may indicate a change in library staffing practices in the marketplace. In February a new Unicode-compatible version of *Classification Web* was released to all subscribers. Beginning in April 2006 the classification schedules and the tables database were updated daily instead of weekly.

CDS ended the distribution of Government Printing Office (GPO) cataloging records. These records are now available directly from GPO.

The 29<sup>th</sup> edition of the five-volume *Library of Congress Subject Headings* (LCSH) was

published in print. Seven new editions of *Library of Congress Classification Schedules* were also published: K, K Tables, J, P-PA, P-PZ Tables, PL-PM and Z. In fiscal 2006, there was a 37 percent drop in revenue generated by the MARC documentation product line. Printed classification schedules sales decreased almost 34% from last year.

*Cataloger's Learning Workshop*, the cooperative cataloger training initiative launched in 2005 with an editorial board mostly of Library staff but with colleagues outside the Library as well, completed its first full year. The editorial board is composed of stakeholders and representatives from different training programs whose content is published by CDS. Fiscal 2006 was devoted to developing six additional courses that will debut throughout 2007 and to updating two existing courses.

The goal of testing PDF as a delivery option was completed and PDF versions of selected CDS publications became available at no charge to users, beginning with the first issues of the 2006 subscription year. At the close of fiscal 2006, the following publications were available through this program: *Cataloging Service Bulletin*, *CONSER Cataloging Manual* updates, *Descriptive Cataloging Manual* updates, *Library of Congress Rule Interpretations* updates, and *Subject Cataloging Manual: Subject Headings* updates. The remaining publications to become free PDF files are *CONSER Editing Guide* updates and MARC 21 format documentation updates.

The retirements of forty percent of CDS staff on January 3, 2006, greatly affected the division's customer service operation. Because of the staffing crisis, CDS alerted customers in a variety of ways to the expected slowdown in customer service operations. CDS sent printed announcements to customers in all product shipments, mounted the announcement prominently on the CDS Web site, developed an e-mail message to send to customers and prospects on an ad hoc basis, and issued announcements on various electronic discussion lists, including the two CDS Web products' lists. By the close of fiscal 2006, CDS had personally contacted hundreds of customers and interested individuals and had put into effect numerous strategies for dealing with customer support issues. The entire Division helped catch up with backlogs of orders, payments, emails, and phone inquiries.

During the course of the year, various staff members responded to interviews of the Booz Allen Hamilton team studying the Business Enterprises study to develop a new operating model for the fee-based services within Library Services. It is hoped that the results from this study will inform CDS's next steps with regard to replacing its legacy business and customer information management system.

The division's 2006 total spending authority of \$6.7 million included the non-reimbursable appropriation of \$700,000 provided to CDS to cover the cost of CDS products and services for the Library's internal use. A rescission reduced the offsetting collections authority to \$5.94 million and the non-reimbursable appropriation to \$693,000. This spending authority allowed the division to earn up to the ceiling to fund CDS operations. If earnings exceeded the ceiling, the excess would have been

transferred to the U.S. Treasury. The actual earned receipts of \$3,909,380 in fiscal 2006 were \$2,030,620 less than the reimbursement requirement of \$5.94 million and therefore represented a planned reserve. This planned reserve allowed CDS to ensure that its expenditures this year did not exceed revenue.

### **Cooperative Cataloging Programs**

In fiscal year 2006, Program for Cooperative Cataloging members (numbering over 500 institutions around the world) created 175,328 new name authorities and 9,865 new series authorities through NACO, the program's name authority component. In SACO, the subject authority component of the PCC, member institutions contributed 3,619 new Library of Congress subject headings as well as 2,089 new Library of Congress Classification numbers. Members of CONSER, the serials cataloging component of the program, contributed 25,796 new bibliographic records, while in BIBCO, the PCC's monograph arm, members contributed 73,830 new bibliographic records, ten percent more than in fiscal 2005. The Cooperative Cataloging Team, RCCD, with the CONSER coordinator and CONSER specialist in SRD, provided the secretariat for the PCC. The chief of the Serial Record Division provided oversight of the Library of Congress's participation for most of the year.

A large part of the PCC secretariat's energies was absorbed over the past year by "PCC 2010," the PCC initiative to compose new strategic directions for the program. The five strategic directions are: 1) Be a forward thinking, influential leader in the global metadata community; 2) Redefine the common enterprise; 3) Build on, and expand, partnerships and collaborations in support of the common enterprise; 4) Pursue globalization; and 5) Lead in the education and training of catalogers.

The University of Hawaii at Manoa joined BIBCO this year, bringing total membership to 47 institutions. The number of SACO-Only Institutions continued to grow, both domestically and internationally. The SACO Program expanded to include four new subject authority funnel projects: the Judaica Subject Authority Funnel Project, the Northern New England Subject Authority Funnel Project, the Northern Michigan University Subject Funnel Project, and the Arabic Subject Funnel Project

Numerous training initiatives were conducted by the LC Cooperative Cataloging Team on behalf of SACO, including the Basic SACO workshop during the ALA Midwinter Conference in San Antonio. This was intended as the final time that this basic course would be offered, since it would be replaced by the Web-based distance-education basic SACO course that was under development.

Fiscal year 2006 witnessed the inaugural SACO-At-Large meetings at ALA Midwinter Meeting and Annual Conference. In addition to general discussion, each meeting features a unique subject heading topic presented by one of the SACO mentors.

International participants now number 72 members on all continents, in funnels or as independent participants, in NACO, SACO, and in CONSER. The South Africa funnels



have seen reorganization, renaming, and the technical problems of new MARC21 codes and contribution workflows, but continue as active participants with expansion training. Outreach efforts to Historically Black Colleges and Universities (HBCU) had a side benefit in producing a Canada NACO funnel and a Caribbean Funnel based in the University of the West Indies. Casalini Libri participates in NACO and SACO, and other vendors have expressed interest in membership. In fiscal year 2006, international PCC members created 48,631 new name authorities (27.74 percent of all NACO contributions), 941 new series authorities, 615 new subject headings, and ten new class numbers. International CONSER-member institutions contributed 3,210 new records, or 12.44 percent of all new CONSER records.

The merger of RLG and OCLC and the resulting changes in the workflow environment led to a broad re-evaluation of the PCC program's goals and activities. This required extensive re-writing of documentation; liaison work with CDS and OCLC to ensure uninterrupted data flow as former RLG members began to switch to OCLC as their contributor platform; and large-scale editing of the PCC Web site, which is maintained by the Library of Congress.

The CONSER Publication Patterns Initiative received an update on the ONIX for Serials formats during the ALA Midwinter Meeting. Several pilot projects were underway involving vendors and publishers. Meeting participants emphasized the importance of increasing the involvement of publishers in ONIX for Serials tests and concluded that the timing was right to form a publisher advisory group for the Initiative.

The CONSER Ad-Hoc RDA Comment Group continued to review drafts of *Resource Description and Access (RDA)* throughout the fiscal year. The Task Force on Coverage of E-serials provided input on a sample of CONSER records derived from the OCLC E-holdings Project. CONSER members discussed the logistics of adding several thousand bibliographic records generated through the E-holdings Project to the CONSER file throughout the fiscal year. A CONSER group formed in 2005 to determine appropriate record elements for authenticated serial records that are contributed to the Digital Library Federation Registry of Digital Masters worked on several different models for record contribution in 2006. The group has opened a dialogue with DLF members responsible for issuing guidelines for the registry.

In April 2006, the CONSER Coordinator in SRD convened a group of Library staff and a representative from OCLC to develop a plan for LC authentication of integrating resources. A plan is now in place and ready for implementation when other tasks related to distributing integrating resource records are completed. The workflow will allow both CONSER and BIBCO members using OCLC to contribute and update records for integrating resources and distribute them to CDS database subscribers.

Staff at several University of California (UC) campuses developed a CONSER bibliographic funnel, assisted by the University of California, Los Angeles and the University of California, San Diego.

Other new CONSER members included Serials Solutions, Inc., and Saint Louis University Pius XII Memorial Library. Connecticut State Library and New York University Law Library were declared independent Associate level members during 2006.

Update 16 of the *CONSER Editing Guide (CEG)* was completed in autumn 2005 and distributed in 2006. After update 17 is completed in fall 2006, the *CEG* will move to a standing order model for distribution. Most of the work on update 3 of the *CONSER Cataloging Manual (CCM)* was completed this fiscal year. This update was expected to be distributed in autumn 2006 and would be the last update of the *CCM* to be issued through subscription. In the future, the *CCM*, the *CEG*, and their updates will be available by standing order in print format and available online in pdf format from CDS.

### **Dewey Decimal Classification**

The Decimal Classification Division remained the world's largest Dewey classifying agency, assigning Dewey numbers to 101,766 titles during the fiscal year, at a rate of 10.22 titles classified per hour. Comparable figures for fiscal 2005 were 114,386 and 9.52 titles per hour. The increase in productivity and decrease in production may be attributed to two factors: the loss of three senior classifiers during the year and the division's cross-training initiative. The division's Dewey production was supplemented by a substantial increase in the number of copied Dewey Decimal Classification numbers processed in the cataloging divisions during the period. During fiscal 2006, ABA cataloging teams processed 22,917 titles with copied DDC numbers—an increase of 8,195 over the number processed in fiscal 2005.

As staffing losses left the division with only seven full-time classifiers, division management, in conjunction with the director for ABA, decided that the division should focus on assigning DDC numbers to U.S. national imprint material. The first phase of this new focus was implemented on May 4. All Division classifiers now shared responsibility for providing DDC numbers to works in the disciplines of language (400s) and literature (800s). The Decimal Classification Division continued to accept CIP and Priority 2 (i.e., high priority monographs) material in most subject areas. In several specified subject areas, the Division now accepted only CIP material because of a lack of subject expertise in those areas. The Division continued to benefit from the assistance of some SSCD and RCCD catalogers who were trained to assign Dewey numbers in their areas of subject expertise.

During the year the Decimal Classification Division pursued two bold initiatives that hold great promise for the future: an ambitious ongoing Dewey cross-training program that involved all DCD professional classifiers; and an initiative to explore the feasibility of developing software that will provide automatic DDC assignment for specific subsets of incoming material.

DDC Editorial Policy Committee (EPC) Meeting 124 was held at the Library of Congress in October. The EPC elected Deane Zeeman, Library and Archives Canada, as chair for the 2006-2007 term. It is noteworthy that this is the first time in EPC's history that

both the chair and the vice-chair come from outside of the United States, perhaps a fitting indication of the DDC's prominence in Europe and other parts of the globe. The Vietnamese translation of DDC Abridged Edition 14 went to press in June and was officially launched in Hanoi, Vietnam, in August. An assistant editor in the Dewey Classification Division was a lead advisor to the translation project and advised on development of software to support the German edition of the Classification.

Work continued on mapping Library of Congress Subject Headings and Canadian Subject Headings to corresponding DDC numbers. Division staff explored the feasibility of developing software that would enable the automatic classification assignment of specific subsets of incoming Dewey material. After submission of a Library Services IT Project Feasibility Assessment to the Technology Policy Office, an assistant editor wrote several algorithms that derive DDC numbers from existing MARC 21 data (i.e., LC Classification numbers and fixed field codes) for works of fiction by single authors. A software program using these algorithms, developed by Gary Strawn of Northwestern University and the ABA cataloging automation specialist, was being tested in the History and Literature Cataloging Division at year's end.

### **Instructional Design and Training Work Accomplished**

The Instructional Design and Training Division has its administrative home in ABA but supports all Library Services units with training and course development. With a small staff that fluctuated from four to seven members during the year, the division accomplished a great deal. Staff mounted new Quick Tips on the IDT (Library Services training) Web site, launched a training program to introduce staff to the complexities of the World Wide Web, upgraded and refined the IDT website, launched the E-Resources Information page, and provided training for the ILS Upgrade to Unicode, which took place in November. IDTD trained 1,380 staff members in fiscal 2006, compared to 2,051 staff members trained in fiscal 2005. Of those 1,380 staff members, 1,216 were from Library Services. Library Services staff also took 1,020 instructor-led classes through the Library's Center for Learning and Development, of which 277 represented mandatory courses, *Ethics Briefing* and *A Respectful Workplace*, and 1,957 online courses, chiefly the mandatory IT Computer Security course. In fiscal year 2006, IDTD also trained 164 staff members from other service units.

Library Services' staff also attended 107 external training classes, at a cost of \$63,082.00 for an average course cost of \$580. Staff in IDTD were responsible for processing the necessary training documentation to permit staff to attend external courses. Library Services staff thus took a total of 4,300 classes through IDTD, CLD, and external training.

Quick Tips now form a major part of the division's training program and are incorporated into classroom training as part of the move to blended learning courses. In June, IDTD offered to have its GroupWise Quick Tips serve as the training tool for the Library when it upgrades its email software to GroupWise Version 7.0 in the next fiscal year. As a result, IDTD instructors set about revising all existing GroupWise

Quick Tips so that they reflected the new IDTD requirements and at the same time created three new ones on GroupWise Attachments, Calendars and Tasks. The IDT site had eight Quick Tips devoted to the GroupWise application at the end of fiscal 2006. Two Quick Tips on the Library's financial system, Momentum, were also revised to meet the new requirements. In addition, the eight Quick Tips for *Cataloger's Desktop* were revised because of changes resulting from the new interface. The *Cataloger's Desktop* Quick Tips are used in a blended training course for the *Cataloger's Desktop* Web version. This form of training is very popular with the participants, who meet in the classroom part of the time and work part of the time at their workstations working through the Quick Tips.

With Library staff working in offices around the globe, distance learning has become essential. IDTD experimented with an inexpensive and quick method of providing distance learning. The *Library of Congress Subject Headings* courses, which are instructor-led, were filmed as they were taught without any change in content or method of presentation. At year's end a DVD of the finished product was ready for shipping to an overseas office to test as a possible method of distance learning.

The plan for the World Wide Web Training series, formerly the Digital Future Training series, was completed by early summer 2006. The plan comprised thirteen modules. By the end of the fiscal year, IDTD instructors had three modules ready for classroom instruction. These instructor-led courses were *Using Browsers*, *Web Portals*, and *Evaluating the Web*. All modules are focused on the end user. The goal of the training series is to enable staff members to use Web resources in their daily work, particularly in assisting library patrons.

As a result of the LC ILS upgrade to the Voyager interface with Unicode in November, all seven existing ILS courses in the IDTD repertoire had to be revised, and a number of new instructor-led courses were developed to introduce Library staff to Unicode. The new courses were: WebOPAC New Features; Cataloging Module and IDB, which covered the new features in the Cataloging module as well as the interim database; and a Diacritics Skillbuilder to provide practice in the creation of diacritics in Unicode. Courses were provided in use of the Input Method Editor (IME) for non-roman script in the WebOPAC of Voyager with Unicode, with a focus on searching and retrieving records. Two IME courses were developed, one for Arabic/Farsi and another for Hebrew/Yiddish.

The chief of IDTD and the chief of SSCD jointly coordinated the very popular educational and training series, *LC's Digital Future & You*. Ten programs were offered throughout the fiscal year, including four presentations from external speakers. OCLC staff members gave a presentation on Open WorldCat; Google representatives spoke on Google and Libraries; Alan November of November Learning presented "Information Stewards and the Ever Expanding Search for Knowledge"; and Bruce Rosenstein of *USA Today* spoke about "Special Libraries, 2006: Change and Challenges in the Digital Environment."

### **New Initiatives and Innovative Processing**

The entire ABA Directorate sought to accomplish its work more efficiently throughout the year. To some extent the search for efficiencies and innovation was dictated by continuing loss of staff resources. The directorate began the fiscal year with 781 staff members. Seventy-eight staff members, or fully ten percent of the directorate, retired by January 3, taking advantage of one-time retirement incentives offered by Library Services. By the end of the year, ABA had about 695 staff members. The more basic reason for innovations, however, was the need to integrate new formats and modes of publication, especially in the digital realm, with traditional materials that continued to arrive in increasing quantities. The directorate made much greater use of bibliographic data from the OCLC and RLIN utilities and from vendors. It automated several processing tasks and experimented with new workflows in most divisions to meet workloads while providing library users with the best access to the Library's content.

Acquisitions innovations. The ANAD division improved several business processes this year, beginning with the decision to begin actual counts of incoming government documents rather than estimating quantities. The division implemented use of the LC ILS (Voyager) for processing of microforms. The ACINU Section continued check-in of all serial subscriptions, bound and unbound, enabling new serial issues to be sent directly to Binding and Collections Care or to the appropriate custodial division, greatly reducing processing time and keeping backlogs of incoming serials to a minimum. The ABA selection officers, who are assigned to ANAD, adjusted their work routines to travel to the temporary quarters of the U.S. Copyright Office in Crystal City, Va., each day. The division welcomed three Serial Record Division technicians on detail to learn acquisitions processing and promoted a staff member in the hybrid cataloging/acquisitions specialist position description to the GS-13 grade level.

Bibliographic Enrichment Advisory Team. Staff in ABA lead the Library's inter-divisional Bibliographic Enrichment Advisory Team (BEAT), which initiates research and development projects to increase the value of cataloging products to library users. The team's best-known project is the enrichment of online catalog records by providing electronic table of contents data (TOC). In fiscal 2006, BEAT-developed software supported the inclusion of TOC in more than 28,488 records for Electronic Cataloging in Publication titles and enabled links to and from another 21,044 catalog records to D-TOC, or digital tables of contents, which resided on a server. Links to TOC were also provided by the BEAT ONIX projects, which link LC catalog records to tables of contents, publisher descriptions, sample text, book jacket illustrations, author information, and reading group guides provided by publishers in ONIX (Online Information Exchange), the standard for communicating book industry product information in electronic form. At year's end there were 636,415 links from LC catalog records to ONIX-derived enhancements, including links to 33,510 sample texts and more than 272,000 publisher descriptions of their publications.

In fiscal year 2006, BEAT continued its Review Project, adding links from catalog

records to reviews for 2,144 monographs in the LC collections. At the request of the *Handbook of Latin American Studies*, BEAT developed software to change approximately 27,000 *HLAS* records to add the complete name of the journal relating to that *HLAS* record, making these records easier for end users to understand.

The BEAT team originated the project to reclassify and provide significantly improved access to tens of thousands of pre-1970 Congressional hearings and move them to the custody of the Law Library of Congress, resulting in improved service to the Congress, centralized availability of information now widely dispersed throughout the Library's collections, modernization and uniformity of catalog formats for the hearings, and addition or inclusion of other information, such as the existence and location of alternate data sources. In July 2006, Google, Inc., began to digitize the reclassified hearings for the Law Library, a project that builds on the successful BEAT project.

Cataloging in Publication initiatives. The CIP Review Group was charged to evaluate the CIP Program with the aims to reduce costs, speed throughput, and improve selection decision-making while ensuring that the CIP program meets the most important needs of end users, libraries, and publishers. To this end the group developed, tested and implemented three major surveys of the library community, publishers, and subscribers to the Library's Cataloging Distribution Service's MARC Distribution Service. The surveys were completed in August and supplied the CIP Review Group with a wealth of information, which the group considered together with information obtained from Library of Congress staff, the CIP Advisory Group, experience with the ECIP Cataloging Partnership program, BEAT initiatives, discussions with ITS staff regarding potential ECIP enhancements and innovations to facilitate selection, and findings of the *Missouri State University Research Survey on Cataloging in-Publication (CIP) and Subject Headings for School Librarians*. The Review Group's report, to be completed early the next fiscal year, will recommend a number of broad changes to improve efficiency, reduce costs, and enhance services to libraries, publishers, and readers.

The ECIP Cataloging Partners Program expanded this year to include the National Agricultural Library (NAL), which catalogs ECIPs related to agriculture. The four ECIP cataloging partners—Cornell University, National Library of Medicine (NLM), Northwestern University, and NAL--cataloged 2,526 CIP titles in fiscal 2006; NLM cataloged 2,307 of these.

Commercial sources of bibliographic data and shelf-ready projects. The directorate continued to make use of selected external sources of data for cataloging. The Casalini Shelf-Ready Project, which began as a pilot in fiscal 2004, was in full production and proceeded smoothly throughout the year. For payments totaling \$350,000, the Library's Italian book dealer, Casalini Libri, provided core-level cataloging and digital tables of contents for 4,140 books that the Library purchased from Casalini. When the books arrived, they could be processed on receipt by acquisitions staff and sent directly to the Collections Access, Loan, and Management Division or to Binding and Collections

Care, as needed. During the year, Casalini had greater than expected sales of its core-level records to other North American customers, and therefore extended substantial credits to the Library of Congress, reducing the price that the Library paid to about \$85 per core-level record. This price was twenty dollars less than ABA's calculated cost per record for its in-house cataloging.

Staff of the Japanese Team, RCCD, the Japanese, Korean, South and Southeast Asian Acquisitions Section, AFAOVOP, and the Asian Division planned and coordinated a cataloging experiment with the Japanese vendor Kinokuniya. The vendor selected and cataloged 250 titles for the Library following a selection plan. Kinokuniya input bibliographic data into OCLC's WorldCat database. Then, after the records were loaded into the RLIN bibliographic utility, Japanese Team staff copied the records into the LC ILS and performed any needed authority work and end-stage processing. The experiment was considered a success, and may lead to continued provision of material and bibliographic data by Kinokuniya in the future.

The directorate also obtained initial bibliographic control records (IBCR) in MARC 21 format from many of its vendors, usually at no added charge. During the year, approval plan vendors for Serbia, Lithuania, Ukraine began supplying books with IBCR, saving processing time and scarce language resources in ABA. For Hebrew-script materials, ABA continued to benefit from the use of dual-script IBCR provided by Israeli approval vendor A.I. Weinberg, through arrangements established by the vendor, RLG, Inc., and LC. The Library's China vendor, China National Publishing Industry Trading Corporation (CNPITC), began a two-year contract in May to supply books with item bar code labels and with IBCR records, which it creates in the RLIN bibliographic utility using a Library of Congress cataloging account. At year's end, an agreement was reached with Eulyoo Publishing Co. to obtain its IBCR for Korean language materials.

To address concerns from the larger community about new uses of commercial data, the director for ABA formed a Vendor Cataloging Task Force consisting of representatives from large research libraries. The task force was to consider pricing and distribution models and the potential for repurposing of cataloging produced by foreign national libraries. The task force also aimed to issue a brief white paper in the next fiscal year for the attention of vendors that are interested in supplying catalog records to American research libraries.

Copy cataloging. The directorate made determined and successful efforts to optimize the use of copy cataloging this year, increasing its production of copy cataloging by one third over the previous year. Two pilot copy cataloging initiatives utilizing innovative workflows contributed to the increase. In May 2005, ASCD established the Copy Cataloging Pilot Team (CCPT) with the objective of testing a new processing stream for copy cataloging handled solely by cataloging technicians. As all cataloging technicians were engaged in the pilot, ASCD catalogers incorporated cutting and end-stage processing into their work stream in order to complete the process for items cataloged. The goal of the pilot was to determine if cataloging technicians could be trained to

perform copy cataloging independently and if catalogers could be trained to shelflist and end-stage process independently. The pilot showed that 1) Copy cataloging performed solely by cataloging technicians could be done faster and at less cost, and with acceptable quality (During the final three months, March through May 2006, CCPT averaged 1.05 titles copy cataloged per hour, compared to ASCD's average of 1.03 for the pre-pilot year. By virtue of the fact that cataloging technicians were paid at a lower rate than catalogers, the copy cataloging cost less.) 2) A group dedicated to copy cataloging activities could maximize the amount of copy used; and 3) Shelflisting and end-stage processing performed as a part of a seamless workflow by catalogers result in faster throughput and higher productivity rates. As of May 2006, ASCD's productivity for regular cataloging increased by 29% over its productivity during the pre-pilot year. The gain in productivity most likely resulted from the elimination of the hand-off from cataloger to technician and the elimination of the second "analysis" of the item needed to perform cutting. From the productivity data, it might be inferred that throughput time has decreased. The pilot workflow proved to be so efficient that, after consultation with the labor organizations, management decided to extend the pilot until such time as the planned ABA reorganization is implemented.

At the end of June, HLCD concluded a year-long copy cataloging initiative begun in fiscal 2005. Technicians received intensive instruction to perform the descriptive aspect of copy cataloging while referring to a cataloger for the subject aspect. Some technicians performed well, while others clearly would need additional training to perform acceptably. The division increased its copy cataloging output by twenty percent over the previous year while its output of standard cataloging was reduced by about nine percent. A surprising result of the project was the voluntary shouldering of shelflisting duties by catalogers. This shift in responsibility improved throughput times while not noticeably decreasing production. Following the project's conclusion, HLCD management opted to allow successful technicians to continue to handle copy.

The Serial Record Division expanded its copy cataloging this year for a total of 5,159 copy-cataloged titles, an increase of seventeen percent over fiscal 2005. Cataloging technicians extended their copy cataloging beyond CONSER records to include all copy, and many SRD technicians began to do descriptive cataloging.

The "Encoding Level 3" or unassessed copy cataloging workflow was introduced by the Social Sciences Cataloging Division, originally to clear a backlog of 1,700 titles left from the Education, Sports, and Recreation Team when it was disbanded in July 2005, and later was expanded for other work on hand. In the EL3 workflow, copy for books is automatically loaded into the LC ILS. The program retains all data in the copied record, including any subject headings and a call number, which is moved into the 097 field of the MARC 21 record. The program places an MLC shelf number in the 050 field, with essentially no human review of the record. The EL3 copy cataloging workflow enables technicians to process large amounts of work on hand while retaining access points and keywords that support catalog searches. Since the records are not assessed by Library of Congress staff, the workflow is not used for new receipts, and reference librarians



are given the opportunity to review older work on hand that is slated for EL3 processing and to request a higher level of cataloging when they deem it warranted.

Cyr 4 Conversion Project. The Cyr 4 Conversion Project was proposed by the European Division to provide electronic access to approximately 5,300 Russian-language volumes in the Library's collections that are represented only in the Russian Union Catalog. These older materials were never represented by PreMARC records (pre-1968 cataloging converted to online form). An area specialist and a European Division technician volunteered to do customized processing of these items in the LC ILS (Voyager) according to guidelines developed by the Social Sciences Cataloging Division, European Division, and other stakeholders. The Instructional Design and Training Division and the Central and Eastern European Languages Team, SSCD, provided training and review.

Serials cataloging innovations. The Serial Record Division gained currency with new receipts and thus SRD staff were able to receive training and start working in areas which would better prepare them for the reorganized ABA Directorate. Currency was achieved through several factors, including the efficiency gained by a reduction in handoffs. As of November 2005, SRD completed all descriptive and subject cataloging of new serial titles within the division. Catalogers completed their own descriptive and subject cataloging and most of their own shelflisting, obviating the need to hand to another person for end-stage processing. This efficiency anticipates the workflow under the reorganization.

The Library of Congress and the National Library of Medicine co-chaired a Program for Cooperative Cataloging project to develop basic record requirements for a serial in any format using *Functional Requirements for Bibliographic Records (FRBR)* user tasks. The resulting "access-level serial record" was tested by thirteen institutions that compared records created at the access level with those created at a fuller level. Public services and reference staff evaluated how well the records served end user needs and a cost comparison was done. Overall, the participating institutions found that the access-level records met user needs in most instances and that there were overall savings in time spent on cataloging.

The Head of the National Serials Data Program Section (NSDP) continued active participation in revision of the ISSN (International Standard Serial Number) Standard, which was close to approval at year's end. Interest in the new standard is high in the U.S., with particular interest in implementing the linking ISSN being expressed by libraries, publishers, and publications management companies. During the past year, ABA kept these interested parties informed about the ISSN revision. In the coming year, NSDP hopes to post an interactive online Web form for publishers to use to request ISSN assignments.

Series control decision. On June 1, 2006, the Library of Congress ceased to create and update series authority records and ceased to provide controlled series access points in

the original bibliographic records that it produces. The Library will continue to record series statements, as found on the items being cataloged, in its new original bibliographic records; controlled series access points will not be added or modified when existing bibliographic records are updated for other reasons.

The director for ABA and the associate librarian for Library Services spoke at several venues at the ALA Annual Conference to reaffirm the Library of Congress's commitment to working with its cataloging partner organizations and the larger library community to mitigate the impact of this decision. Managers at LC worked with OCLC, Inc., to help ensure that OCLC members could maintain controlled series access in their own catalogs if they considered this an important service to their users. As the secretariat of the Program for Cooperative Cataloging, LC continued to provide support and review to libraries that created and update series authority records in that program. The decision to cease creating and maintaining series authority records appeared to have helped the directorate increase its production in the final quarter of fiscal 2006 and would enable the directorate to devote resources to aspects of bibliographic access that are more directly beneficial to library users in the future.

## Appendix B: Office of the Director

The staff assigned to the Office of the Director reported the following major activities in fiscal year 2005.

Beacher J.E. Wiggins is the Director for Acquisitions and Bibliographic Access, chairs the Bibliographic Access Management Team and the Acquisitions Management Group, and co-chairs the Library of Congress Collections Policy Committee. In addition to having executive responsibility for the work of nearly 700 staff members in fourteen divisions and the Acquisitions Fiscal Office, Mr. Wiggins was the Library of Congress representative to the Standing Committee on Bibliography of the International Federation of Library Associations and Institutions and helped to plan the Bibliography Section's program at the World Library and Information Congress/71st IFLA General Conference and Council in Oslo, Norway, in August. He chaired the Library of Congress Action Plan Steering Group, which oversees the action items in *Bibliographic Control of Web Resources: A Library of Congress Action Plan*. He is a member of the Dewey Editorial Policy Committee and is active in the American Library Association.

Harold S. Boyd, the Cataloging Reference Librarian, retired on January 3. He acquired and managed inventory for the Cataloging Reference Collection of nearly 10,000 print volumes, ensuring that all staff in the bibliographic access divisions and Serial Record Division had ready access to the reference tools that they used most heavily. He chaired the Cataloging Reference Collection Steering Committee.

Shirley M. Gorham is the administrative assistant in the Office of the Director and the Acquisitions Fiscal Office. She handled the Director's calendar, personnel matters, correspondence, and filing, prepared Momentum requests, travel authorizations, and vouchers for staff in the Office, and processed WebTA (Web-enabled time and attendance records) for all staff who report directly to the Director. Ms. Gorham was also the Combined Federal Campaign keyworker for the entire Library Services office, October through December 2005.

Allene F. Hayes is the Digital Projects Coordinator for the ABA Directorate and a member of the Bibliographic Access Management Team. She served as the system administrator for the Tracker electronic traffic manager for in-process digital content; recommended MODS templates and assisted with the design and cataloging of the Library's digital collections; performed quality control of ABA-produced metadata for digital collections, and represented the Directorate to numerous visitors interested in bibliographic control of digital content. Ms. Hayes had a leadership role in the Web archiving and harvesting initiatives undertaken by ABA and the Office of Strategic Initiatives. With the Integrated Library System Program Office, she helped to plan and design a pilot project for the Electronic Resources Management System to be implemented in the next fiscal year. She was active in ALA and was chair of the Electronic Resources Interest Group of the Association for Library Collections and Technical Services (ALCTS), an ALA division.

Susan R. Morris is the assistant to the Director for Acquisitions and Bibliographic Access, focusing on the bibliographic access divisions in fiscal 2006. Ms. Morris also drafted the service unit annual report, the Library of Congress report to the Conference of Directors of National Libraries, and the briefing documents for Library staff who attended the American Library Association Annual Conference and Midwinter Meeting. She served on the Bibliographic Access Management Team, the Casalini Project Steering Group, the ABA Workflow Task Force, and the ABA Reorganization Implementation Teams for Statistics and Administrative Issues. She reviewed telework applications and compiled statistical reports for all 130 teleworkers ABA. Ms. Morris represented the ABA Directorate to more than 200 visitors during the year.

Joseph A. Puccio is the assistant to the Director for Acquisitions and Bibliographic Access, focusing on the acquisitions divisions in fiscal 2006. Mr. Puccio served on the ABA Workflow Task Force, served as the contracting officer's technical representative for the Security Targeting and Marking contract, and bore chief responsibility for the Duplicate Materials Exchange Program. He drafted the Library-wide Stewardship Report, which is ultimately submitted to the Department of the Treasury. He represented the Library on the Heritage Asset and Stewardship Land Task Force of the Accounting and Auditing Policy Committee, Federal Accounting Standards Advisory Board. Mr. Puccio served as the secretariat for the Library-wide Collections Policy Committee. He was selected to coordinate two performance goal working groups for the Library Services Strategic Plan, 2008-2013.

Both assistants to the Director served as approving officials in the Library's financial management system, Momentum, and worked closely with the Director, the chiefs, and the Library Services Administrative Services Division to prepare the ABA budget requests for fiscal years 2006 and 2007. They also represented ABA on the Library Services Continuity of Operations Program Phase I Planning Team.

David Williamson is the ABA Cataloging Automation Specialist. He served on the Bibliographic Access Management Team and the ABA Workflow Task Force. As an active participant in the Book Industry Study Group's ONIX working group, he furthered development of the ONIX book industry information exchange standard and obtained unprecedented access for the Library of Congress to publishers' ONIX data. He developed and maintained software for nearly automatic generation of bibliographic data, including Dewey cutter numbers, and for automatically searching and adding copies to the catalog. Mr. Williamson developed software that enables ABA staff to update catalog records as well as provide loading services of records for various purposes, including the Casalini shelf-ready project and the OCLC replacement PreMARC record project. This year he developed a program that merges existing records for CIP galleys with upgraded records found in OCLC that has greatly expedited the CIP verification process while improving its accuracy. He also developed the software that enables the EL3 copy cataloging projects and software that performs first-pass sorting of incoming receipts by scanning the ISBN for books and the UPC (Universal Product Code) for compact disks. The sorting programs helped to reduce

searching backlogs in the CIP and Special Materials Cataloging divisions. At the request of the Handbook of Latin American Studies, he wrote a program to change approximately 27,000 HLAS records to add the complete name of the journal relating to that HLAS record, making these records easier for end users to understand.